

§ 269.9 Form T-6 for application under section 310(a)(1) of the Trust Indenture Act for determination of the eligibility of a foreign person to act as institutional trustee.

This form shall be used for the filing of an application pursuant to rule 10a-1 [§260.10a-1 of this chapter] to obtain authorization for a corporation or other person organized and doing business under the laws of a foreign government to act as sole trustee under an indenture qualified or to be qualified under the Act.

[56 FR 22321, May 15, 1991]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form T-6, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 269.10 Form TH—Notification of reliance on temporary hardship exemption.

Form TH shall be filed by any electronic filer who submits to the Commission, pursuant to a temporary hardship exemption, a document in paper format that otherwise would be required to be submitted electronically, as prescribed by Rule 201(a) of Regulation S-T (§232.201(a) of this chapter).

[58 FR 14687, Mar. 18, 1993]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TH, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

PART 270—RULES AND REGULATIONS, INVESTMENT COMPANY ACT OF 1940

Sec.

- 270.0-1 Definition of terms used in this part.
- 270.0-2 General requirements of papers and applications.
- 270.0-3 Amendments to registration statements and reports.
- 270.0-4 Incorporation by reference.
- 270.0-5 Procedure with respect to applications and other matters.
- 270.0-8 Payment of fees.
- 270.0-9 [Reserved]
- 270.0-10 Small entities under the Investment Company Act for purposes of the Regulatory Flexibility Act.
- 270.2a-1 Valuation of portfolio securities in special cases.

- 270.2a-2 Effect of eliminations upon valuation of portfolio securities.
- 270.2a3-1 Investment company limited partners not deemed affiliated persons.
- 270.2a-4 Definition of “current net asset value” for use in computing periodically the current price of redeemable security.
- 270.2a-6 Certain transactions not deemed assignments.
- 270.2a-7 Money market funds.
- 270.2a19-2 Investment company general partners not deemed interested persons.
- 270.2a19-3 Certain investment company directors not considered interested persons because of ownership of index fund securities.
- 270.2a41-1 Valuation of standby commitments by registered investment companies.
- 270.2a51-1 Definition of investments for purposes of section 2(a)(51) (definition of “qualified purchaser”); certain calculations.
- 270.2a51-2 Definitions of beneficial owner for certain purposes under sections 2(a)(51) and 3(c)(7) and determining indirect ownership interests.
- 270.2a51-3 Certain companies as qualified purchasers.
- 270.3a-1 Certain prima facie investment companies.
- 270.3a-2 Transient investment companies.
- 270.3a-3 Certain investment companies owned by companies which are not investment companies.
- 270.3a-4 Status of investment advisory programs.
- 270.3a-5 Exemption for subsidiaries organized to finance the operations of domestic or foreign companies.
- 270.3a-6 Foreign banks and foreign insurance companies.
- 270.3a-7 Issuers of asset-backed securities.
- 270.3c-1 Definition of beneficial ownership for certain section 3(c)(1) funds.
- 270.3c-2 Definition of beneficial ownership in small business investment companies.
- 270.3c-3 Definition of certain terms used in section 3(c)(1) of the Act with respect to certain debt securities offered by small business investment companies.
- 270.3c-4 Definition of “common trust fund” as used in section 3(c)(3) of the Act.
- 270.3c-5 Beneficial ownership by knowledgeable employees and certain other persons.
- 270.3c-6 Certain transfers of interests in section 3(c)(1) and section 3(c)(7) funds.
- 270.5b-1 Definition of “total assets.”
- 270.5b-2 Exclusion of certain guarantees as securities of the guarantor.
- 270.5b-3 Acquisition of repurchase agreement or refunded security treated as acquisition of underlying securities.
- 270.6b-1 Exemption of employees’ securities company pending determination of application.